

I hereby certify that this correspondence is being filed by facsimile with a confirmation copy being deposited the United States Postal Service as first class mail in an envelope with sufficient postage and addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 on the date indicated below.

Date: May 20, 2002

Signed: [Signature]
Peter K. Trzyzna (Reg. No. 32,604)

PATENT

Paper No.

File: NewMrktP98-1

Walden #14 Request Reconsideration w/loss of time 3 months 6/28/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Anthony F. Herbst and Wayne F. Perg
Serial No. : 09/197,908
Filed : November 23, 1998
For : DIGITAL COMPUTER SYSTEM AND METHODS FOR
MANAGING AN AUCTION MARKET FOR PREFERRED-
RETURN SECURITIES
Group Art Unit [Signature] : 2162 3264
Examiner : Retta Yehdega AKBMS

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JUN 11 2002

Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

Technology Center 2100

RESPONSE

SIR:

In response to the Office Action dated November 20, 2001, the undersigned contacted SPE Vincent Millan for an interview. In the interview it was agreed that there was no reason to withhold allowance based on the record and that the undersigned would receive confirming documentation. However, no such documentation has been received. If a filing is deemed necessary to preserve the pendency of the case (to ensure that the case does not go abandoned for failure to establish a clean paper trail), then it is respectfully requested that this be construed as a Petition for Extension of Time for three months and a Request for Reconsideration for the reasons discussed in the interview.

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GROUP 360C

The application is believed to be in condition for allowance, and favorable action is requested. If the prosecution of this case can be in any way advanced by a telephone discussion, the Examiner is requested to call the undersigned at (312) 240-0824.


The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235.

Please direct all correspondence to the undersigned at the address given below.

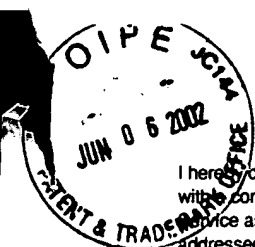
Respectfully submitted,

Date:

May 20, 2002


Peter K. Trzyna
(Reg. No. 32,601)

P.O. Box 7131
Chicago, IL 60680-7131
(312) 240-0824



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Date: May 20, 2002

Signed: PKT

Peter K. Trzyna (Reg. No. 32,601)

PATENT

Paper No.

File: Newmrkt-P1-98

2761
J. Walden
#13 Reg.
exp.
of
time
3ms
Granted
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JUN 27 2002

GROUP 3600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Anthony F. Herbst and Wayne F. Perg
Serial No. : 09/197,908
Filed : November 23, 1998
For : DIGITAL COMPUTER SYSTEM AND METHODS FOR
MANAGING AN AUCTION MARKET FOR PREFERRED-
RETURN SECURITIES
Group Art Unit : 2761
Examiner : Retta Yehdega

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Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

Technology Center 2100

TRANSMITTAL LETTER

SIR:

Please enter the following enclosed documents in the above-identified patent application. *OK pd*

1. Response.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235.

Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

PKT

Peter K. Trzyna
(Reg. No. 32,601)

Date: May 20, 2002

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Chicago, IL 60680-7131
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GROUP 3600